

1999-01 Performance Progress Report

For Quarter Ending June 2001

Agency 102

Department of Financial Institutions

Mission

To regulate our state's financial services industry in a manner that promotes public confidence in our state's financial markets.

Goal Perform examinations and audits to determine the safety and soundness of regulated businesses and individuals and compliance with consumer protection laws, and develop and monitor corrective actions to any areas of concern.

Performance Measure By survey, percentage of credit unions giving a Good to Excellent rating on how well the Department's examiner worked with the management team to resolve any identified areas of concern during the institution's safety and soundness examination.

Outcome	Fiscal Year 2000				Fiscal Year 2001			
	<u>Quarter 1</u>	<u>Quarter 2</u>	<u>Quarter 3</u>	<u>Quarter 4</u>	<u>Quarter 5</u>	<u>Quarter 6</u>	<u>Quarter 7</u>	<u>Quarter 8</u>
Estimate	80%	80%	80%	80%	80%	80%	80%	80%
Actual	100%	100%	90%	100%	100%	100%	100%	100%

Date Measured

Performance Measure By survey, percentage of banks agreeing or strongly agreeing that the bank's examination report prepared by the Division of Banks was objective, reflected material issues, and was useful for remaining in compliance with regulations.*

* Annual reporting in January of each year for prior calendar year.

Outcome	Fiscal Year 2000				Fiscal Year 2001			
	<u>Quarter 1</u>	<u>Quarter 2</u>	<u>Quarter 3</u>	<u>Quarter 4</u>	<u>Quarter 5</u>	<u>Quarter 6</u>	<u>Quarter 7</u>	<u>Quarter 8</u>
Estimate			90%				95%	
Actual			98%				100%	

Date Measured

Performance Measure By survey, percentage of broker dealers and investment advisers rating the overall performance of their examination by the Division of Securities as Good to Excellent.

Outcome	Fiscal Year 2000				Fiscal Year 2001			
	<u>Quarter 1</u>	<u>Quarter 2</u>	<u>Quarter 3</u>	<u>Quarter 4</u>	<u>Quarter 5</u>	<u>Quarter 6</u>	<u>Quarter 7</u>	<u>Quarter 8</u>
Estimate				90%				90%
Actual				100%				97%

Date Measured

Goal Use a highly trained staff and state of the art procedures to perform a timely, comprehensive and fair review of license, charter and registration applications.

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Performance Measure By survey, percentage of license applicants giving a Good to Excellent rating for the overall quality of service received from the Consumer Services Unit during the application process.*

* * The Consumer Services Unit licenses mortgage brokers, check cashers and sellers, consumer loan companies, and escrow agents.

Outcome	Fiscal Year 2000				Fiscal Year 2001			
	<u>Quarter 1</u>	<u>Quarter 2</u>	<u>Quarter 3</u>	<u>Quarter 4</u>	<u>Quarter 5</u>	<u>Quarter 6</u>	<u>Quarter 7</u>	<u>Quarter 8</u>
Estimate				75%				75%
Actual				76%				73%
Date Measured								